# Leadership Competency Development Guide Competency Cluster: Building Trust and Accountability



### **Competency: Ethics and Integrity**

Definition: Degree of trustworthiness and ethical behavior of an individual with consideration for the knowledge one has of the impact and consequences when making a decision or taking action.

#### Behavioral Indicators:

- Treats others with respect
- Takes responsibility
- Uses applicable professional standards and establishes procedures
- Identifies ethical dilemmas and takes action

Developing/Practicing this Competency	Learning from Others	Sample Developmental Goals
<ul> <li>Identify ethical issues that face your unit and monitor yourself on how you make decisions on these issues.</li> <li>Identify ways you can show respect for staff members, peers, and others in the organization.</li> <li>Establish procedures for how to handle sensitive issues your and/or your staff deal with.</li> <li>Model ethical behavioral in all your dealings with others</li> <li>Discuss the issue of ethics at staff meetings</li> <li>Admit mistakes</li> <li>Respect the values of others</li> </ul>	<ul> <li>Research organizations that have had to make tough ethical decisions (e.g., Johnson and Johnson) and talk to the people who actually made the tough calls.</li> <li>Interview several individuals who have demonstrated ethical behavior. Ask them about difficult ethical decisions they have made and how they made them.</li> <li>Identify people who have a reputation for having integrity. Ask them (and others) how they developed this reputation.</li> </ul>	<ul> <li>By December 4, I will review my organizations ethics policy and codes and organizational values statements to determine how they related to my unit.</li> <li>By January 15, I will interview Curt Bond about his experiences in facing tough ethical decisions.</li> <li>By March 1, I will invite a member of our Legal Division to address staff on ethical issues that relate to our work.</li> <li>By May 12, I will review possible conflict of interest issues with staff.</li> </ul>



# Leadership Competency Development Guide for Ethics and Integrity

This is not an exclusive list of resources. Please feel free to conduct your own search for more resources related to Ethics and Integrity in civil service.

### **Resources Index**



<u>Definition, Behavioral Indicators,</u> <u>Developmental Activities</u>



Academic Journals and Books on-line and available for checkout



Videos and Podcasts
on-line and available for checkout



Courses on-line and for a fee



**Webinars** 



**Other Resources Links** 



# Academic Journals and Books On-Line and Available for Checkout



#### **Academic Journals and Articles on Ethics and Integrity**

**California State Library** 

**Academic Journals and Articles** 

### **Books on Ethics and Integrity**

**California State Library** 

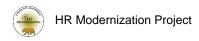
**Books Available for Checkout** 

#### **Safari Books**

See a book you are interested in reading? Check to see if the book is available for checkout at the <u>California State Library</u>.

**Books Available On-Line** 

**Trouble accessing Safari?** 





## **Videos and Podcasts**



**Videos on Ethics and Integrity** 

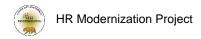
**California State Library** 

**Videos Available for Checkout** 

**Podcasts on Ethics and Integrity** 

**Podcasts** 

<u>iTunes University Free Downloads</u>





## **Courses On-Line and for a Fee**

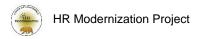


### **Mandatory ethics training for California State Officials**

**Ethics Training Courses for State Officials** 

**Courses for a Fee on Ethics and Integrity** 

On-Line Course
Instructor-Led Courses









# **Coming Soon!!**

<u>Business Ethics and Social Responsibility</u>- Free Management Library: Basic Guide to Leadership and Supervision.

<u>California State Auditor, Bureau of State Audits</u> – Assuring the performance, accountability, and transparency that citizens of California deserve.

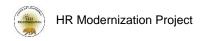
<u>California State Legislature Rules and Ethics</u> – Information regarding the rules and ethical standards of the California State Legislature.

<u>Complete Guide to Ethics Management: An Ethics Toolkit for Managers</u> - This guide is a straightforward and highly practical tool designed to help leaders and managers implement comprehensive ethics management systems in their workplaces -- systems to deal with the complex, ethical issues that can occur in the day-to-day realities of leading and managing an organization.

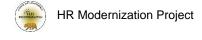
<u>State Bar of California</u> – Ethics Information serves as a hub for ethics-related resources, education programs and research tools.

<u>State Workforce and Training Resources</u> – The Library is committed to providing trainers and other workforce leaders with access to an extensive collection, highly skilled staff, positive customer service, and 21st century technology.

<u>University of Arizona Ethics Program</u> – Follow ethics and academic integrity in the news.



### **Linked Documents**





# California State Library Ethics and Integrity Books Available for Checkout

Book Title	Author	Publisher	Year	Call Number
Boundaries: a casebook in environmental ethics	Gudorf, Christine E.	Georgetown University Press	2003	GE42.G83 2003
Business Ethics: A Manual for Managing a Responsible Business Enterprise in Emerging Market Economies	U.S. Dept. of Commerce	International Trade Administration	2004	Title linked to PDF
Business ethics : a reference handbook	Dienhart, John William	ABC-CLIO	1998	HF5387.D54 1998
Business ethics : new challenges for business schools and corporate leaders	Peterson, Robert A. (Robert Allen)	M.E. Sharpe	2005	HF5387 .B8725 2005
Business, science, and ethics	Freeman, R. Edward	Society for Business Ethics	2004	HF5387.B884 2004
Character and cops : ethics in policing	Delattre, Edwin J	AEI Press	2002	HV7924.D45 2002
Conflicts of Interest and Standards of Ethical Conduct	National Science Foundation	National Science Foundation	2007	Title linked to PDF
Creating a Culture of Integrity	Jack McDevitt	U.S. Dept. of Justice, Office of Community Oriented Policing Services	2008	Title linked to PDF
Directors as guardians of compliance and ethics within the corporate citadel: what the policy community should know	Greenberg, Michael D.	RAND	2010	HV6769.D57 2010
Do it right : an ethics handbook for executive branch employees	United States	U.S. Office of Government Ethics	1995	Y 3.ET 3:8 EX 3

Book Title	Author	Publisher	Year	Call Number
Eighty exemplary ethics statements	Murphy, Patrick E.	University of Notre Dame Press	1998	HF5387.E37 1998
Encyclopedia of applied ethics	Chadwick, Ruth F.	Academic Press	1998	BJ63.E44 1998
Encyclopedia of ethics	Becker, Lawrence C.	Routledge	2001	BJ63.E45 2001
Ethics & procurement integrity: what you need to know as a federal employee involved in the procurement and acquisition process.	U.S. Office of Government Ethics	U.S. Office of Government Ethics	2007	Y 3.ET 3:2 IN 8
Ethics and excuses: the crisis in professional responsibility	McDowell, Banks	Quorum Books	2000	BJ352.M39 2000
Ethics and integrity of governance: perspectives across frontiers	Huberts, L. W.	Edward Elgar	2008	JK468.E7 E83 2008
Ethics and public administration	Frederickson, H. George	M.E. Sharpe	1993	JF1525.E8E854 1993
Ethics at work: creating virtue in an American corporation	Terris, Daniel	Brandeis University Press	2005	HF5387.5.U6 T47 2005
Ethics for educational leaders	Beckner, Weldon	Pearson/A and B	2004	LB1779.B43 2004
Ethics handbook.	United States	.S. Dept. of Justice, Departmental Ethics Office	2002	J 1.8/2:ET 3/2002
Ethics in public management	Frederickson, H. George	M.E. Sharpe	2005	JF1525.E8 E8567 2005
Ethics in public relations: a guide to best practice	Parsons, Patricia J.	Kogan Page	2004	HD59.P3548 2004
Ethics in the public service: the moral mind at work	Garofalo, Charles	Georgetown University Press	1999	JF1525.E8G37 1999
Ethics starts here: a guide for senior officials	U.S. Office of Government Ethics	U.S. Office of Government Ethics	2000	Y 3.ET 3:8 SE 5

Book Title	Author	Publisher	Year	Call Number
Ethics, accountability, and recordkeeping in a dangerous world	Cox, Richard J.	Facet Pub.	2006	CD971 .C688 2006
Ethics, the heart of leadership	Ciulla, Joanne B	Quorum Books	1998	HF5387.E875 1998
Good work: when excellence and ethics meet	Gardner, Howard	Basic Books	2001	HF5549.5.J63G355 2001
Handbook of administrative ethics	Cooper, Terry L.	Marcel Dekker	2001	JK468.E7H36 2001
Handbook of public administration	Peters, B. Guy	Sage Publications	2003	JF1351.H274 2003
How Honesty Pays: Restoring Integrity to the Workplace	Charles E. Watson.	Praeger Publishers	2005	HF5387 .W378 2005
Information security and ethics: social and organizational issues	Quigley, Marian	IRM Press	2005	T14.5 .l55 2005
Legal ethics: a comparative study	Hazard, Geoffrey C.	Stanford University Press	2004	K123.H39 2004
Listening to the whispers: re- thinking ethics in healthcare	Dinkins, Christine Sorrell	University of Wisconsin Press	2006	R724 .L57 2006
Managing by values	Ken Blanchard, Michael O'Connor with Jim Ballard	Berrett-Koehler Publishers	1997	HD6957.U6B549 1997
Managerial ethics: moral management of people and processes	Schminke, Marshall.	Lawrence Erlbaum Assocs.	1998	HF5387.M3345 1998
Perspectives of chief ethics and compliance officers on the detection and prevention of corporate misdeeds: what the policy community should know	Lim, Nelson	Rand Center for Corporate Ethics and Governance	2009	HV6769 .P47

Book Title	Author	Publisher	Year	Call Number
Public Integrity	J. Patrick Dobel	Johns Hopkins University Press	1999	JF1525.E8D63 1999
Responsibilities of public officials and employees under California ethics laws	Remcho, Joseph	Remcho, Johansen & Purcell	2003	G275.E78
Responsibilities of public officials and employees under California ethics laws	Remcho, Joseph	Remcho, Johansen & Purcell	2003	G275.E78
Restoring responsibility: ethics in government, business, and healthcare	Thompson, Dennis F.	Cambridge University Press	2005	JA79 .T575 2005
Scandal proof: do ethics laws make government ethical?	Mackenzie, G. Calvin	Brookings Institution Press	2002	JK468.E7M33 2002
The committed enterprise: making vision, values, and branding work	Davidson, Hugh	Elsevier/Butterworth- Heinemann	2005	HD58.9.D375 2005
The ethics challenge in public service: a problem-solving guide	Lewis, Carol W.	Jossey-Bass	2005	JK468.E7 L49 2005
The ethics edge	Berman, Evan M.	International City/County Management Association	1998	JA79.E8236 1998
The government factor: undermining journalistic ethics in the information age	Kaplar, Richard T.	Cato Institute	1995	PN4888.E8K37 1995
The seven habits of highly effective people : restoring the character ethic	Covey, Stephen R.	Simon & Schuster	1989	BF637.S8C68
Treasury ethics handbook	Dept. of the Treasury	Dept. of the Treasury	2008	T 1.10/2:ET 3
Work and integrity : the crisis and promise of professionalism in America	William M. Sullivan	Jossey-Bass	2005	BJ1725.S85 2005

### **Academic Journals and Articles on Ethics and Integrity**

## <u>A Conceptual Model for Benchmarking Performance in Public Sector Ethics Programs:</u> The Missing Link in Government Accountability?

Ever since Osborne and Gaebler's Reinventing Government[1], the federal government's National Performance Review Act,[2] the American Society for Public Administration's (ASPA's) Center for Accountability and Performance and Hartry's primer on Performance Measurement,[3] performance, outcome measurement and accountability have been guiding principles for government at the close of the 20th Century. Government and society have changed, and performance (and tools of performance measurement) has taken center stage as citizens expect more and better government for less. But governments themselves have demanded performance in order to operate in the complex, interdependent, global and technologically-based environment facing all organizations in the 21st Century. Productivity and efficiency concerns are at the heart of the performance orientation of government but so too are accountability and ethics. The application of benchmarking to ethics programs administered by federal, state and local ethics commissions, boards or offices is the focus of this paper. Specifically, this article presents a variety of models that can be used to successfully adopt benchmarks for use in government ethics programs. As ethics transgressions or allegations of ethics violations continue in the public sector (e.g., Congressman Traficant's expulsion in 2002 and Secretary of the Army White's resignation in 2003), this paper posits that ethics benchmarks hold the key for achieving both efficiency and accountability in government in the 21st century. [ABSTRACT FROM AUTHOR]

Authors: Smith, Robert W.1

Source: International Journal of Public Administration; 2007, Vol. 30 Issue

12-14, p1621-1640, 20p, 1 Diagram, 12 Charts

## <u>A "Pracademic's" Perspective of Ethics and Honor: Imperatives for Public Service in the 21st Century!</u>

This essay addresses ethics and honor, and the role they play in the actions of the public servant for the 21st century. Today's public servant operates in an age of globalization and a political atmosphere of 'market-driven' and 'liberation' management. In such arenas, public officials are now encouraged to take the same type of risks as private entrepreneurs do. However, in the wake of financial scandals among leaders and entrepreneurs of some of the largest private corporations in the United States such as Enron, Tyco, and WorldCom, Inc., should such practices be wise for the public administrator? Does the use of the words virtue, ethics, and honor imply that they should serve only as tools depending upon the circumstances allowing the ends to justify the means, or are they indeed imperatives? Just what is ethics in public administration? How do we rationalize or reconcile the use of individual ruggedness associated with privatization in public administration? Juxtaposing my personal



**Back to Academic Journals and Books** 

experiences, as a 'pracademic' and a former city manager, with classical theorists and contemporary authors, I propose to answer these questions, produce a greater depth and clarity of vision on ethics and honor, and prescribe a new course of action and education. [ABSTRACT FROM AUTHOR]

Authors: Hanbury, George L.

Source: Public Organization Review; Sep2004, Vol. 4 Issue 3, p187-204,

18p

#### **Avoiding Integrity Land M!nes**

The article presents information on business ethics. Ethics at work is a big issue and a big concern these days and a big training effort to undertake. The obvious first step in teaching honesty is to define it. For our purposes (the betterment of our colleagues and what we think or feel. In addition, we must also instill in our colleagues that it's dishonest to feel a certain way and not communicate it. There are numerous learning tools-videos, simulations, online courses-using real-world situations to teach ethical behavior. To have any chance of getting people to communicate in a straight, open and complete manner, one must create a safe environment for them to speak the truth.

Authors: Heineman, Jr., Ben W.

**Source:** Harvard Business Review 85, no. 4 (April 2007): 100-108.

#### **Becoming Ethically Competent**

The article discusses the ethical aspects of civil service in the U.S. It says that successful public administration managers understand that integrity is at the core of managing without fear or favoritism. It adds that to be ethically competent is a first-order requirement for those who are on the front-line of advancing excellence in civil service. It notes that ethics is a public value on the same order as responsiveness, accountability, transparency, and respect for human rights.

Authors: Menzel, Don

Source: PA Times 32, no. 5 (May 2009): 12.

#### **Building a Strong Local Government Ethics Program**

Presents a comprehensive local government ethics program rests on four pillars, namely the code of ethics, ethics education, oversight of the ethics commission, and office of the ethics administrator. Citizens of Wyandotte County and Kansas City, Kansas voted to reconstruct their local government and do away with a long history of political corruption and employee

Authors: Manske, Michael W.

George Frederickson, H.



Previous Page

**Source:** Public Management (00333611), Jun2004, Vol. 86 Issue 5, p18-22, 5p

#### Conflict of Interest in Policing and the Public Sector

Conflicts of interest are a key factor in the contemporary decline of trust in government and public institutions, eroding public trust in government and democratic systems. Drawing on two unique empirical studies involving policing and the broader public sector, this paper explores the meaning and dimensions of conflict of interest by examining public complaints about conflict of interest and providing distinctive insights into the nature of conflict of interest as a problem for public sector ethics. The paper analyses and explores appropriate regulatory and management approaches for conflict of interest, focusing on three elements: (1) dealing with private interests that are identifiably problematic in the way they clash with the duties of public officials; (2) managing conflicts as they arise in the course of public sector work (manifested in preferential and adverse treatment, and other problematic areas); and (3) developing ethical and accountable organisational cultures. It is concluded that effective and meaningful public sector ethics in the pursuit of the public interest must be based on an ethos of social accountability and a commitment to prioritise the public interest in both fact and appearance. [ABSTRACT FROM AUTHOR]

Authors: Boyce, Gordon Davids, Cindy

Source: Public Management Review; Sep2009, Vol. 11 Issue 5, p601-

640, 40p, 1 Diagram

#### **Developing an Effective Code of Conduct**

The article focuses on the development of formal written codes of conduct for organizations. It states that codes of conduct are mandated by the U.S. Sarbanes-Oxley Act as well as by listing requirements of the major stock exchanges. It mentions that codes of conduct usually contain statements by the organization's chief executive officer stating the organization is committed to conducting business with integrity and the highest ethical standards. It comments that codes of conduct also should provide a discussion of what roles the organization's policies, structure, internal controls, and risk management will play in helping employees comply with the code of conduct, including the role of personal accountability.

**Authors:** Gibbs, Everett

Source: Financial Executive 19, no. 4 (June 2003): 40-41.

#### **Ethical Rationality: A Strategic Approach to Organizational Crisis**

In this paper, we present an ethical and strategic approach to managing organizational crises. The proposed crisis management model (1) offers a new approach to guide an organization's strategic and ethical response to crisis, and (2) provides a two-by-two framework for classifying organizational crises. The ethically rational approach to crisis draws upon strategic rationality, crisis, and ethics literature to understand and address organizational crises. Recent examples of corporate crises are employed to illustrate the theoretical claims advanced. Finally, the paper provides guidelines for a morally optimal outcome for the organization and its stakeholders. [ABSTRACT FROM AUTHOR]

Authors: Snyder, Peter

Hall, Molly

Robertson, Joline Jasinski, Tomasz Miller, Janice S.

Source: Journal of Business Ethics; Feb2006, Vol. 63 Issue 4, p371-383,

13p

#### **Ethical Values in the Workplace: Individual Values and Organizational Culture**

The article focuses on ethical values as a key element of the business environment. The authors propose that the transfer of ethical values within the work context is crucial to prevention of future failures. Particular emphasis is given to the work of E. H. Schein in organizational culture. A model to examine the effect of intent and organizational culture on participant's ethical values is presented.

Authors: Moustafa-Leonard, Karen

Wellington, John F.

Gaydos, Eric

**Source:** Proceedings of the Business, Society & Government Consortium

of the Midwest Business Administration Association (January

2008): 90-102.

#### **Ethics: Alive and Well**

The article focuses on the initiatives of the local governments to prevent ethical lapse among their employees in the U.S. Clinton Gridley, city administrator in Woodbury, Minnesota, turned to ICMA for local government ethics training. The city government in Cape Coral, Florida integrates ethical behavior into the organization's management style. Moreover, San Mateo County leaders have always ensure that there is a clear vision, mission, and expectations for people in the organization.

Authors: Kellar, Elizabeth Perkins, Jan



**Source:** Public Management (00333611), Jan/Feb2007, Vol. 89 Issue 1, p6-8, 3p

#### **Ethics as a Business Strategy**

The article presents a speech by Andrew N. Liveris, the chairman and chief executive officer of the Dow Chemical Company, which he delivered as a Raytheon Lecture in Business Ethics, at Bentley University in Waltham, Massachusetts, on November 4, 2010. Liveris offered an overview of the development of business ethics in America from the 1970s to the 21st century, and stressed the importance of implementing profitable and ethically sound business strategies.

**Authors:** Liveris, Andrew N.

Source: Vital Speeches of the Day, Jan2011, Vol. 77 Issue 1, p35-39, 5p

#### **Ethics in the Workplace Start with Honesty.**

The article presents information on business ethics. Ethics at work is a big issue and a big concern these days and a big training effort to undertake. The obvious first step in teaching honesty is to define it. For our purposes (the betterment of our colleagues and what we think or feel. In addition, we must also instill in our colleagues that it's dishonest to feel a certain way and not communicate it. There are numerous learning tools-videos, simulations, online courses-using real-world situations to teach ethical behavior. To have any chance of getting people to communicate in a straight, open and complete manner, one must create a safe environment for them to speak the truth.

**Authors:** Asacker, Tom

**Source:** T+D 58, no. 8 (August 2004): 42.

#### **Ethics for Supervisors (Part One)**

The article talks about ethics for supervisors in the U.S. federal government. It states that federal supervisors should understand their responsibilities to help ensure an ethical workplace. They must comply with ethics requirements set by the agency including issues on outside activities, acceptance of gifts and other offers from persons outside the government, and conflicting interests. The authors add that federal employees must comply with the conflict of interest laws and the Standards of Ethical Conduct for Employees of the Executive Branch.

Authors: Epstein, Steve

Carney, Patrick

**Source:** Federal Ethics Report 14, no. 3 (March 2007): 1-6.



#### **Ethics for Supervisors (Part Two)**

The article discusses factors to consider by government supervisors to comply with the Federal ethics program in the workplace. Results of a 2005 survey of senior officials and procurement personnel in the U.S. Department of Defense show that employees look to their supervisors as a role model in determining their level of compliance with ethics requirements. Also given are the steps that supervisors can take to promote subordinate compliance with the requirements of the Federal ethics program, including encouraging open discussion of ethical issues.

> Authors: Epstein, Steve Carney, Patrick

**Source:** Federal Ethics Report 14, no. 4 (March 2007): 1-7.

#### **Ethics in Local Government: It's More Than not Doing Bad Things**

Focuses on the role of professional ethics in local government in the United States. Codes of conduct; Effect of local government on people's lives; Availability of professional literature and guidelines to help local leaders maintain individual and personal ethics.

Authors: Asacker, Tom

**Source:** T+D 58, no. 8 (August 2004): 42.

#### **Ethics in the Workplace Start with Honesty**

The article presents information on business ethics. Ethics at work is a big issue and a big concern these days and a big training effort to undertake. The obvious first step in teaching honesty is to define it. For our purposes (the betterment of our colleagues and what we think or feel. In addition, we must also instill in our colleagues that it's dishonest to feel a certain way and not communicate it. There are numerous learning tools-videos, simulations, online courses-using real-world situations to teach ethical behavior. To have any chance of getting people to communicate in a straight, open and complete manner, one must create a safe environment for them to speak the truth.

Authors: Carlee, Ron

**Source:** Public Management (00333611), Jul2004, Vol. 86 Issue 6, p3-5,

#### From Virtue to Competence: Changing the Principles of Public Service

Virtue has long been a central principle in the tradition of public service—to what extent is it still relevant today? Focusing on the role of the monitoring officer, a key official in the ethical framework of local government in the United Kingdom, this essay asks which virtues, if any, are still needed for public service and whether these virtues have been



displaced by managerial notions of technical competence as the principles of public service delivery. The authors draw an initial distinction between virtue and competence that, upon further investigation, does not appear to be sustainable. Despite being drawn from two different academic perspectives—moral philosophy and management development—the concepts of virtue and competence are, in practice, very similar. This theoretical convergence is reflected in the practical concerns of monitoring officers and their perspective on public service ethics. [ABSTRACT FROM AUTHOR]

Authors: Macaulay, Michael Lawton, Alan

**Source:** Public Administration Review; Sep/Oct2006, Vol. 66 Issue 5,

p702-710, 9p, 3 Charts

#### Hypocrisy/Favoritism Seen as the Major Ethical Problems in the Workplace

The article presents information on business ethics. Ethics at work is a big issue and a big concern these days and a big training effort to undertake. The obvious first step in teaching honesty is to define it. For our purposes (the betterment of our colleagues and what we think or feel. In addition, we must also instill in our colleagues that it's dishonest to feel a certain way and not communicate it. There are numerous learning tools-videos, simulations, online courses-using real-world situations to teach ethical behavior. To have any chance of getting people to communicate in a straight, open and complete manner, one must create a safe environment for them to speak the truth.

**Authors:** Not Specified

Source: Insurance Advocate 115, no. 3 (January 19, 2004): 18.

#### **Harvard Management Update**

Use this publication to generate new ideas, understand management trends, and solve current business problems by drawing on world-class research and real world expertise share the best ideas with colleagues and save each issue for easy reference.

Publisher Information: Harvard Business School Publication Corp.

#### The Importance of Integrity in a Leader and Personal Relationships

The article discuses the lessons that the author learned from Peter Drucker concerning the significance of people and integrity in personal relationships. It mentions that integrity is the touchstone of management where Drucker shows by caring deeply about people and practicing excellent manners in life. It notes that lack of integrity in behavior destroys people and the effectiveness of executive leadership is determined by the integrity of the leader. It also notes that Drucker set a high standard of workmanship and taught that manners are the lubricant of organizations.



Authors: Maciariello, Joseph A.

**Source:** Leader to Leader 2010, (January 2, 2010): 43-46.

#### Integrating Values into Public Service: The Values Statement as Centerpiece

The public administration community needs to focus more attention on how values can be integrated into the structures, processes, and systems of public organizations. In particular, greater emphasis should be placed on the values statement as the central component of a values regime. This article examines the content and format of values statements in four Westminster-style governments, initiatives to make values a pervasive influence in public-service operations, and learning points for other countries. Each government's values statement should capture the essence of public service. Leaders must serve as both exemplary models of values-based behavior and skillful practitioners of the art of values management. A values statement expressing values that are shared at all organizational levels—combined with the dispersal of leadership roles throughout the organization—provides an especially strong foundation for integrating values into public service. [ABSTRACT FROM AUTHOR]

Authors: Kernaghan, Kenneth

**Source:** Public Administration Review; Nov/Dec2003, Vol. 63 Issue 6,

p711-719, 9p, 2 Charts

#### **Journal of Business Ethics**

Original articles and reviews concerning ethical issues related to business, and analyses of systems of production, consumption, marketing, advertising, social and economic accounting, public relations and organizational behavior from a moral viewpoint

Publisher Information: Springer Science & Business Media B.V.

#### **Management**

Articles on the development of leadership and management skills directed at members of the National Management Association.

Opportunity

Publisher Information: Mediaweb Ltd.

#### **Managerial Responsibility**

The concept of managerial responsibility is a shining thread in the literature of public administration, but its definition within our constitutional scheme remains elusive. How will we know responsible public management when we see it? We propose one answer: Public administration should be conducted according to what we term a 'precept of managerial responsibility,' which involves four interrelated elements derived from the



classical literature of public administration: judgment, accountability, balance, and rationality. We apply this precept to one of the most vexing problems of public administration theory and practice, institutional reform litigation. This application illustrates how the precept solves a major theoretical problem of American public administration by defining a role for administrative officers that fully comports with the Madisonian scheme of separated institutions legislative, executive, and judicial sharing power. [ABSTRACT FROM AUTHOR]

Authors: Bertelli, Anthony M Lynn Jr., Laurence E

Source: Public Administration Review; May/Jun2003, Vol. 63 Issue 3,

p259-268, 10p

#### **Metaphors and the Application of a Corporate Code of Ethics**

This article researches how a corporate code of ethics (CCE) implemented in local government X has influenced the behavior of its employees, middle managers, and managers. Metaphors from the existing and desired CCE elicited by these three groups provided information on how to improve the effectiveness of the CCE. This method proved to be very fruitful. It appeared that continuous systematic attention needed to be paid to the CCE after the CCE had been implemented, particularly by management. Initiatives from management to start discussions about relevant questions of integrity appeared to be also necessary to make the topic a "normal" topic which employees were no longer afraid to discuss. In this way, the possibility could be created to develop collectively a "practical" frame of reference concerning relevant questions of integrity that would help employees to make decisions in difficult situations during their work in the future. [ABSTRACT FROM AUTHOR]

Authors: Zolingen, Simone Honders, Hakan

**Source:** Journal of Business Ethics; Mar2010, Vol. 92 Issue 3, p385-400,

16p, 1 Diagram, 2 Charts

#### Mid-level Managers, Organizational Context, and (Un)ethical Encounters.

This article details day-to-day ethics issues facing MBAs who occupy entry-level and mid-level management positions and offers defined examples of the stressors these managers face. The study includes lower-level managers, essentially excluded from extant literature, and focuses on workplace behaviors both undertaken and observed. Results indicate that pressures from internal organization sources, and ambiguity in letter versus spirit of rules, account for over a third of the most frequent unethical situations encountered, and that most managers did not expect to face those issues. Various contextual factors accounted for 32% of the organizational factors that affected decisions. We discuss implications for the workplace, especially the unique ethics challenges for newer managers. [ABSTRACT FROM AUTHOR].



Previous Page

**Authors:** Dean, Kathy

Beggs, Jeri Keane, Timothy

Source: Journal of Business Ethics 97, no. 1 (November 15, 2010): 51-

69.

#### Moral Courage in the Workplace: Moving To and From the Desire and Decision to Act

The article seeks to better understand the influences that foster the desire to engage in right action in business. Current theory explains ethical decision making and various factors that have an impact on an individual's response. This article builds upon this research by identifying specific affective and cognitive factors that influence the desire to act, which are claimed to precede moral judgment and intention to act. Intention is formulated in response to self-regulatory efforts that govern the efficacy of one's desire to act. This theory adds value to the literature by depicting how higher order selfregulatory processes come into play, which the authors believe are essential for developing habits of moral courage in the workplace.

Authors: Sekerka, Leslie E.,

Bagozzi, Richard P.

Source: Journal of Business Ethics 92, no. 3 (March 31, 2010): 385-400.

#### More than Writing on a Wall: Evaluating the Role that Codes of Ethics Play in Securing **Accountability of Public Sector Decision-Makers**

This article argues that the essential factors of a public service code of ethics can be divided into five categories. These categories or principles are fairness, transparency, responsibility, efficiency and conflict of interest. These principles are identified in this article as being the basic elements of democratic accountability in relation to public sector decision-making. The issues explored are not only the obstacles that the public service decision-maker faces in internalising these principles but, also, the challenges for a pro-active management in fostering such internalisation. [ABSTRACT FROM **AUTHOR1** 

**Authors:** Kinchin, Niamh

**Source:** Australian Journal of Public Administration; Mar2007, Vol. 66

Issue 1, p112-120, 9p

#### **Procurement Ethics: The Bottom Line**

This article asserts that public procurement professionals are faced with the constant challenge of ensuring ethical and equitable procurement practices in the U.S. There are many unethical procurement decisions made by management that only management can make. It isn't procurement's job to investigate or conclude that management is unethical. It is procurement's job to officially advise management of an apparent



unethical situation and all its potential consequences in a professional and timely manner.

Authors: N/A

Source: Government Procurement; Dec2004, Vol. 12 Issue 6, p74-74, 1p

#### **Public Integrity**

Focuses on ethics and leadership in all aspects of modern public service, and related issues.

Publisher Information: M.E. Sharpe Inc.

#### **Public Personnel Management**

Articles on all aspects of personnel management for public organizations published for members of the International Personnel Management Association.

**Publisher Information:** International Public Management Association for Human Resources

## Rebounding from Corruption: Perceptions of Ethics Program Effectiveness in a Public Sector Organization

We examine the perceived importance of three organizational preconditions (awareness of formal ethics codes, decision-making techniques, and availability of resources) theorized to be critical for ethics program effectiveness. In addition, we examine the importance of ethical leadership and congruence between formal ethics codes and informal ethical norms in influencing employee perceptions. Participants (n=418) from a large southern California government agency completed a survey on the perceived effectiveness of the organization's ethics program. Results suggest that employee perceptions of organizational preconditions, ethical leadership and informal ethical norms were related to perceptions of ethics program effectiveness. Based on these findings, organizations should evaluate the presence (or absence) of essential preconditions and take steps to ensure that leaders model espoused organizational values to foster perceptions of effective ethics programs. [ABSTRACT FROM AUTHOR]

Authors: Pelletier, Kathie

Bligh, Michelle

**Source:** Journal of Business Ethics; Sep2006, Vol. 67 Issue 4, p359-374,

16p



#### Retire-Rehire: An Ethical Challenge To The Quick Fix

This article discusses guidelines adopted by law makers for rehiring corrupt political leaders. Law-makers, policy-makers and administrators have a unique opportunity as governmental representatives in these times of corporate scandals to set the example as ethical leaders. Ethical principles demand fair dealing by those in management for all who aspire to fill a vacant position. While federal and state civil service laws mandate certain requirements when filling vacancies, exceptions exist to avoid these hiring mandates or sometimes they are simply ignored.

Authors: Muladore, Robert G.

**Source:** PA Times, Jan2005, Vol. 28 Issue 1, p10-10, 2/3p

#### **Shades of Gray: Applying Professional Codes of Ethics to Workplace Dilemmas**

This paper offers five real-life case studies for exploring ethics in the management classroom. They come from the fields of international business/strategy, human resources management, accounting, finance, and marketing. To spark critical thinking and provide additional information, students are presented with reflection questions and professional codes of practice that relate to the issues and actions described in each case. After the major piece of experiential learning activity has been completed, students are exposed to viewpoints from experts in the field, specifically how those experts would have handled the case situation themselves. Referenced ethical codes of practice are taken from the American Institute of Certified Public Accountants (AICPA), the Institute of Management Accountants (IMA), the Society of Financial Services Professionals (FSP), the Society of Human Resource Management (SHRM), the American Marketing Association (AMA), and the Global Business Standards Codes (GBS). The business cases explore the extent to which the professional codes give guidance to practitioners and highlight the nature of ethical dilemmas and challenges that occur in these professions. [ABSTRACT FROM AUTHOR].

Authors: Christian, Valerie, and Andra Gumbus

Source: Organization Management Journal 6, no. 3 (Fall2009 2009): 178-

199

# Strategy & Society: The Link Between Competitive Advantage and Corporate Social Responsibility

Governments, activists, and the media have become adept at holding companies to account for the social consequences of their actions. In response, corporate social responsibility has emerged as an inescapable priority for business leaders in every country. Frequently, though, CSR efforts are counterproductive, for two reasons. First, they pit business against society, when in reality the two are interdependent. Second, they pressure companies to think of corporate social responsibility in generic ways instead of in the way most appropriate to their individual strategies. The fact is, the prevailing approaches to CSR are so disconnected from strategy as to obscure many great opportunities for companies to benefit society. What a terrible waste. If



**Previous Page** 

corporations were to analyze their opportunities for social responsibility using the same frameworks that guide their core business choices, they would discover, as Whole Foods Market, Toyota, and Volvo have done, that CSR can be much more than a cost, a constraint, or a charitable deed--it can be a potent source of innovation and competitive advantage. In this article, Michael Porter and Mark Kramer propose a fundamentally new way to look at the relationship between business and society that does not treat corporate growth and social welfare as a zero-sum game. They introduce a framework that individual companies can use to identify the social consequences of their actions; to discover opportunities to benefit society and themselves by strengthening the competitive context in which they operate; to determine which CSR initiatives they should address; and to find the most effective ways of doing so. Perceiving social responsibility as an opportunity rather than as damage control or a PR campaign requires dramatically different thinking--a mind-set, the authors warn, that will become increasingly important to competitive success. INSETS: The Ratings Game:Integrating Company Practice and Context: Nestleé's.... [ABSTRACT FROM AUTHOR]

Authors: Porter, Michael E.

Kramer, Mark R.

Source: Harvard Business Review; Dec2006, Vol. 84 Issue 12, p78-92,

13p, 3 Illustrations, 2 Charts

#### **Shades of Gray: Applying Professional Codes of Ethics to Workplace Dilemmas**

This paper offers five real-life case studies for exploring ethics in the management classroom. They come from the fields of international business/strategy, human resources management, accounting, finance, and marketing. To spark critical thinking and provide additional information, students are presented with reflection questions and professional codes of practice that relate to the issues and actions described in each case. After the major piece of experiential learning activity has been completed, students are exposed to viewpoints from experts in the field, specifically how those experts would have handled the case situation themselves. Referenced ethical codes of practice are taken from the American Institute of Certified Public Accountants (AICPA), the Institute of Management Accountants (IMA), the Society of Financial Services Professionals (FSP), the Society of Human Resource Management (SHRM), the American Marketing Association (AMA), and the Global Business Standards Codes (GBS). The business cases explore the extent to which the professional codes give guidance to practitioners and highlight the nature of ethical dilemmas and challenges that occur in these professions. [ABSTRACT FROM AUTHOR].

Authors: Christian, Valerie.

Gumbus, Andra.

Source: Organization Management Journal 6, no. 3 (Fall2009 2009): 178-

199.



#### **Supervision**

Features articles aimed at teaching vital facts on minimizing costs and maximizing output for supervisors in industrial relations and operating management.

Publisher Information: National Research Bureau

## <u>Symbolic or Substantive Document? The Influence of Ethics Codes on Financial</u> Executives' Decisions

With the recent spate of scandals resulting from the questionable behavior of corporate leaders, there have been calls for various governance mechanisms including ethics codes to guide executive decision-making. However, the extent to which ethics codes are actually used by executives when making strategic choices as opposed to being merely symbolic is unknown. We develop our hypotheses by combining stakeholder management theory and the theory of planned behavior, and test them with a survey of 302 senior financial executives (e.g., CFOs. VPs of Finance). We find that financial executives are more likely to integrate their company's ethics code into their strategic decision processes if (a) they perceive pressure from market stakeholders to do so (suppliers, customers, shareholders, etc.); (b) they believe the use of ethics codes creates an internal ethical culture and promotes a positive external image for their firms; and (c) the code is integrated into daily activities through ethics code training programs. The effect of market stakeholder pressure is further enhanced when executives also believe that the code will promote a positive external image. Of particular note, we do not find that pressure from non-market stakeholders (e.g., regulatory agencies, government bodies, court systems) has a unique impact on ethics code use. [ABSTRACT FROM AUTHOR]

> Authors: Stevens, John M. Steensma, H. Kevin Harrison, David A.

Cochran, Philip L.

Source: Strategic Management Journal; Feb2005, Vol. 26 Issue 2, p181-

195, 15p, 2 Charts, 1 Graph

#### The Ethical Foundation Of Performance Measurement and Management

Demonstrates that performance management is ethical management. Public managers' responsibility to explain to the public what the public and recipients of government services are receiving; Subjective evaluation and professional judgment as effective ways of describing and rating the levels of service delivered to taxpayers; Objective evaluation being demanded by public, recipients of government service, taxpayers, and local leaders; Performance measures; Standard of competence. INSETS: ICMA Performance Measurement Initiative;Look to ICMA.

Authors: Brown, Michael F.



**Previous Page** 

Stilwell, Jason

**Source:** Public Management (00333611), Jun2005, Vol. 87 Issue 5, p22-

25, 4p

The Ethics of New Public Management: I s Integrity at Stake?

#### The state of ethics in our society: A clear call for action

The Rutgers Institute for Ethical Leadership undertook an extensive review of a number of currently available research surveys on ethics in business, education and among the public. The results emerged from a wide variety of groups including employees in the private, government, and health-care sectors, graduate and undergraduate students, high school students and a group referred to as the educated, media-aware public living in over 22 countries. Rutgers Institute for Ethical Leadership studied the findings from these surveys and came to the easy conclusion that there is a dearth of ethical behavior and ethical leadership. It seems unlikely the situation will improve in the short term. The level of observed misconduct remains high. The situation worsens as companies take measures to combat the economic crisis. Reporting of misconduct may be hampered by fear of retaliation. Trust in leaders is low, trust in CEOs is lower. The ethics of the developing workforce does not show signs of improvement. It's a global problem. Some hopeful signs are revealed in these data as well. Ethics programs make a difference. Those around you matter. CONCLUSION The data illustrate the seriousness of the problem of poor ethical behavior and the lack of ethical leadership. Committed and sustained efforts must be made to build ethical organizations in every sector to address the level of misconduct in our society. [ABSTRACT FROM AUTHOR].

Authors: Plinio, Alex J.

Young, Judith M.

Lavery, Lisa McCormick

**Source:** International Journal of Disclosure & Governance; Aug2010, Vol.

7 Issue 3, p172-197, 26p, 3 Charts, 1 Graph

#### The Virtuous Manager: A Vision for Leadership in Business.

This article seeks to contribute to a vision for leadership in business based on a recovery of virtue. The vision for leadership articulated here draws principally on the writings of the classical philosopher Aristotle and of the contemporary philosopher Josef Pieper. Without discounting the ever-increasing complexity of modern business, this essay will attempt to reconstruct Aristotle's emphasis on virtue and moral character, and argues for the philosopher's relevance to modern management and corporate leadership. The paper concludes that the message of virtue is a message of hope and attempts to find plain language to articulate its value to those engaged in business or concerned with the formulation of government policy. [ABSTRACT FROM AUTHOR]

Authors: Flynn, Gabriel



**Previous Page** 

**Source:** Journal of Business Ethics; Mar2008, Vol. 78 Issue 3, p359-372, 14p

#### Three lessons from 2005: Ethics tops the list.

The article focuses on lessons in ethics, technology and crisis management that public relations practitioners learned in the United States in 2005. The government should learn from the Armstrong Williams incident. Lessons from the use of government-sponsored video news releases broadcast on television stations with little or no editing should also be considered.

Authors: Guiniven, John

**Source:** Public Relations Tactics; Dec2005, Vol. 12 Issue 12, p6-6, 1/2p

#### **Towards Better Public Sector Management: A Case Of Malaysia**

Within the parameters of the new public management involving four government agencies, four variables were examined for this study on public sector management. They were: organizational leadership, professional attitudes, entrepreneurial values, and macroenvironment context. It is hypothesized that the presence of these four variables will influence public employees to exhibit market-oriented values. Survey questionnaires were sent out to 248 public officials in four government agencies in the federal government agencies in the capital city of Shah Alam, Selangor, Malaysia. The response rate was 60.5%. The findings showed that organizational leadership and entrepreneurial values were positively related to market-oriented values but were statistically insignificant. [ABSTRACT FROM AUTHOR]

Authors: Zamhury, Nurulaini

Hashim, Rugayah Ahmad, Jasmine

**Source:** International Journal of Global Management Studies Quarterly;

Apr-Jun2009, Vol. 1 Issue 2, p64-74, 11p, 1 Diagram, 4 Charts

#### **Workforce Management**

A business magazine for leaders in human resources covering all aspects of personnel/human resources management.

Publisher Information: Crain Communications Inc. (MI)



#### **Books Available On-Line**

90 Days to Success as a Manager by Anthony T. Meola. Course Technology PTR, 2009.

**Chapter 1 Vision, Mission and Values** 

Business Leadership: A Jossey-Bass Reader by Joan V. Gallow. John Wiley & Sons, 2008

**Chapter 34: Good or Not Bad: Standards and Ethics in Managing Change** 

<u>Drucker on Leadership: New Lessons from the Father of Modern Management</u> by William A. Cohen. Jossey-Bass, 2009

Part II: Ethics and Personal Integrity

**Ethical Business** by Linda Ferrell and O.C. Ferrell. Dorling Kindersley Limited, 2009.

The Great Workplace: How to Build It, How to Keep It, and Why It Matters by Michael Burchell, Jennifer Robin. Jossey-Bass, 2011

**Chapter 2: Credibility** 

<u>The Intangibles of Leadership: The 10 Qualities of Superior Executive Performance</u> by Richard A. Davis. Jossey-Bass, 2010

**Chapter 4: Integrity** 

The Leader's Guide to Storytelling: mastering the Art and Discipline of Business Narrative by Stephen Denning. Jossey-Bass, 2011

Chapter 6: Transmit Your Values: Using Narrative to instill Organizational Values

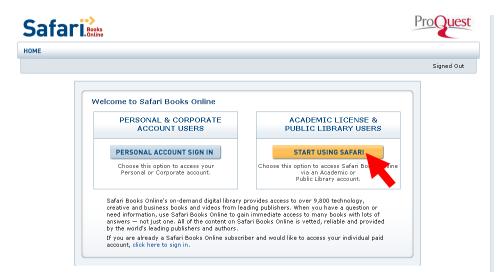
<u>Winners Never Cheat: Even in Difficult Times</u> by Jon. M. Huntsman. Pearson Prentice Hall, 2008.



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# California State Library Ethics and Integrity Videos Available for Checkout

Video Title	Description	Format/ Length	Year	Call Number
Compliance is Just the Beginning	A training resource to help people at all levels make better ethical decisions.	DVD/ 56 Minutes	2005	BJ1419.R67 2005
Ethics	Ethical behavior by government employees is a necessity for fostering and maintaining public trust in governmentno matter what the level. This video teaches viewers the importance of honesty, confidentiality, and other ethical concerns they must keep in mind at all times.	DVD/ 12 Minutes	2006	JS148.E84 2006
Ethics Orientation for State Officials	Prepared by the Office of the Attorney General and Fair Practices Commission, this video is a core course on conflict of interest laws. Your agency can use this tape to fulfill your obligations under Government Code section 11146 to provide ethics training to your officers and employees	VHS/ 120 Minutes	1999	JF1525 E8 E83 1999
For Goodness Sake	Dennis Prager hosts a lighthearted look at goodness using a series of vignettes featuring Hollywood celebrities.	VHS/ 29 Minutes	1992	BJ1581.2.F67 1992
Legal Peril: 8 Management Pitfalls to Avoid	Statistics show one in five managers or supervisors will find themselves in litigation or part of an employment related claim or charge. This hard-hitting film featuring Harry Hamlin of LA Law fame explores the Eight Management Pitfalls – pitfalls which could end up costing you and your associates valuable time and your company millions of dollars. You will learn through example and discussion what they are, how to avoid this costly exposure and how to stay out of court.	VHS/ 23 Minutes	2003	HF5549.12 L443 2003

Video Title	Description	Format/ Length	Year	Call Number
Legal Survival Skills for the Modern Manager	Dramatization with interspersed commentary. Teaches twelve basic survival skills that help companies remain in compliance with major employment legislation while at the same time encouraging worker morale and productivity.	DVD/ 26 Minutes	2005	HF5549. L443 2005
Municipal Employee Training – Ethics	Through situations specific to cities, employees learn: 1) that they are expected to keep confidential information confidential; 2) they must never show favoritism; 3) they must not seek special privileges; 4) must never use city property for personal use; 5) why they must not conduct city business with companies in which they have a financial interest; 6) why they must take no outside employment that conflicts with city duties; 7) they must report illegal or unethical behavior by fellow staff members that they observe; and 8) they are expected to cooperate fully with all official investigations by the administration into complaints, grievances or possible criminal activity	DVD/ 12 Minutes	2006	JS148 E84 2006
Municipal Employee Training – Standards of Conduct	Through realistic scenarios, new employees learn that to be a professional staff member, they must be a law abiding citizen and must understand what it means to display a professional demeanor. Viewers learn what it means to be businesslike, the importance of respecting city property, what the citizens expect when it comes to being sober, being moral and being honest and why it is important to obey legitimate orders. New employees will understand the conduct the city expects of them and will be inspired to take pride in conducting themselves according to the highest standards of professional conduct.	DVD/ 11 Minutes	2006	JS148 S73 2006

Video Title	Description	Format/ Length	Year	Call Number
Standards of Conduct	Through situations specific to cities, employees learn that they are expected to keep confidential city information confidential, that they must never show favoritism, that they must not seek special privileges and must never use city property for personal use. By the end of the program new employees have a clear understanding of what constitutes ethical behavior, and are well aware that as long as they remain a city employee, the need for ethical behavior is going to be a part of their life	DVD/12 Minutes	2006	JS148.S73 2006
Supervisory Skills in Action	From learning patience to fostering empowerment, help your new managers understand the more complex and challenging qualities that every manager needs to be successful.  • Understand that a manager's role is to help others achieve, rather than do everything themselves.  • Learn to motivate and understand those you may not have much in common with.  • Realize how to confront team members that may attempt to undermine management.  • Learn to use recognize when constructive coaching techniques will help employees improve.  The message that underlies everything is the importance of respect respect for your colleagues, your responsibilities and respect for yourself.	VHS/ 17 Minutes	2005	HF5549.12 S87 2005
The 5 Waves of Trust	"Great leaders don't dictate, they influence. And influence comes from a leader's ability to engender credibility and inspire people to both believe them and believe in them. The eight videos on thiscompilation DVD create trustworthy leaders for whom team members readily volunteer their best efforts. The series is based on the premise that there are five layers of trust in the workplace to which leaders must be attuned: Self trust, relationship trust, organizational trust, market trust, and societal trust."	DVD/ 42 Minutes	2009	HF5387.F59 2009

Video Title	Description	Format/ Length	Year	Call Number
Would I Follow Me?	Inspire people to follow you with their hearts and minds. Viewers will learn effective leadership behaviors and appreciate the impact those behaviors have on the success of their work group. Some suggestions: don't dictate, facilitate; be honest and ethical; let people do their jobs; focus on the positive; use mistakes as opportunities; and be inclusive	VHS/ 18 Minutes	2003	HD57.7 W68 2003

#### **Podcasts**

#### **Building Character: Strengthening the Heart of Good Leadership**

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#### **Duke University Center for Leadership and Ethics Podcasts and Videos**

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#### **Leadership Character: Five Influential Attributes**

Here are five key attributes that will help you understand, practice and internalize the behaviors that build character.

#### **Lessons Learned from Executive Churn**

Learn 6 key factors that impact executive churn.

#### **Meet Gene Klann**

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The College of Continuing Education at CSUS provides workshops, courses, training programs, and seminars to help adults enhance their careers and improve their job skills.

Phone Number: (916) 278-4433

On-line contact: <a href="http://www.cce.csus.edu/general\_info/contactus.htm">http://www.cce.csus.edu/general\_info/contactus.htm</a>

#### **Centre For Organizational Effectiveness**

The Centre For Organizational Effectiveness provides academies and programs on management, organizational development, specialized leadership development, and training programs.

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Online Contact: http://www.tcfoe.com/contact.html

Email: info@tcfoe.com

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#### **Cooperative Personnel Services (CPS)**

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**Previous Page**